

Project: Investment Advisory Services

Date: March 30, 2020

RE: Addendum #4

of Pages: 4

The following revisions are being made to the Proposal submission requirements in the Request for Proposals for Investment Advisory Services:

1. *Section III, Timetable & Designated Contact, subsection A: Key Dates is revised to add a phone number for the Designated Contact:*

All questions regarding this RFP should be submitted in writing via email to the “Designated Contact”: Emily Birdseye, Battery Park City Authority, at emily.birdseye@bpca.ny.gov. She can also be reached at (917) 715-0878.

2. *Section IV, General Requirements, subsection D: Submission of Proposals is revised as follows:*

Proposals must be received by BPCA no later than 3:00 p.m. on April 3, 2020.

Each Proposer must e-mail their Technical Proposal to the following e-mail address:

technicalproposals@bpca.ny.gov

The Technical Proposal must be clearly labeled as “Proposal Enclosed – Investment Advisory Services.”

Each Proposer must also e-mail their Cost Proposal to the following e-mail address:

costproposals@bpca.ny.gov

The Cost Proposal must be separately attached and clearly labeled as “Cost Proposal – Investment Advisory Services.”

Each Proposer is responsible for the successful delivery and receipt of their Proposal. BPCA is not accepting Proposals sent via messenger, overnight courier, or certified mail to BPCA offices. If a Proposer has already sent a Proposal via one of these methods, please e-mail the Proposal to the above e-mail address by the Due Date. If a Technical Proposal’s file size is too large to submit by e-mail, the Proposer must make alternate electronic accommodations (e.g., linking to a file sharing website), which shall also be transmitted through technicalproposals@bpca.ny.gov. Please contact the Designated Contact prior to the Due Date to ensure successful transmission of the documents prior to the Due Date.

Proposals *must* arrive at the time and place specified herein. Please leave ample time for submission. Late Proposals, no matter the cause of their lateness, will NOT be accepted. Hard copy or faxed Proposals will NOT be accepted. A Proposer may, after submitting a Proposal, amend its Proposal by submitting an amended Proposal, clearly labeled “Amended Proposal – Investment Advisory Services” as long as the amended Proposal is submitted by the Due Date.

This likewise applies to any and all additional references to the Proposal submission method contained within the Investment Advisory Services Request for Proposals document.

3. *Section VI, Information Required, subsection C(1): Mandatory Forms is revised as follows:*

1) Mandatory Forms:

Each Proposal must include a completed copy of all “Mandatory Forms” found at: https://bpcanyc.org/wp-content/uploads/2020/03/Vendor_Responsibility_Questionnaire_3_27_20.pdf. ***Please use the forms in this updated link.***

The Mandatory Forms include the following:

- a) NYS Standard Vendor Responsibility Questionnaire, signed by the individual(s) authorized to contractually bind the Proposer, indicating the signer’s title/position within the firm.*
- b) State Finance Law § 139 Form 1, signed by the individual(s) authorized to contractually bind the Proposer.*
- c) W-9 form.
- d) Statement of Non-Collusion.
- e) MBE/WBE/SDVOB Utilization Plans. Please note that all such plans must be submitted even if Proposer is a MBE/WBE/SDVOB.

*Proposers must provide a clear electronic copy of the completed and signed NYS Standard Vendor Responsibility Questionnaire and SFL 139 Form 1 as part of the Proposal. Proposers must also retain the completed originals of the forms, with ink signatures, and provide to BPCA upon request.

4. Exhibit B, Diversity Practices Questionnaire on page B-8: The notary requirement was removed from the Questionnaire. The updated Exhibit B is attached below to this Addendum #4.

By signing the line below, I am acknowledging that all pages of this Addendum #4 have been received, reviewed, and understood, and will be incorporated into the Proposal submitted. This document must be attached to the Proposal for consideration.

Print Name	Signature	Date
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Number of pages received: _____ <fill in>

Distributed to: All prospective Proposers

EXHIBIT B
Diversity Practices Questionnaire

I, _____, as _____ (title) of _____ firm or company (the "Company"), swear and/or affirm under penalty of perjury that the answers submitted to the following questions are complete and accurate to the best of my knowledge:

1. Does your Company have a Chief Diversity Officer or other individual who is tasked with supplier diversity initiatives? Yes or No

If Yes, provide the name, title, description of duties, and evidence of initiatives performed by this individual or individuals.

2. What percentage of your Company's gross revenues (from your prior fiscal year) was paid to New York State certified MBEs/WBEs as subcontractors, suppliers, joint-venturers, partners or other similar arrangement for the provision of goods or services to your Company's clients or customers?

3. What percentage of your Company's overhead (i.e. those expenditures that are not directly related to the provision of goods or services to your company's clients or customers) or non-contract-related expenses (from your prior fiscal year) was paid to New York State certified MBEs/WBEs as suppliers/contractors?¹

4. Does your Company provide technical training² to MBEs/WBEs? Yes or No

If Yes, provide a description of such training which should include, but not be limited to, the date the program was initiated, the names and the number of MBEs/WBEs participating in such training, the number of years such training has been offered and the number of hours per year for which such training occurs.

5. Is your Company participating in a government approved MBE/WBE mentor-protégé program?

If Yes, identify the governmental mentoring program in which your company participates and provide evidence demonstrating the extent of your company's commitment to the governmental mentoring program.

6. Does your Company include specific quantitative goals for the utilization of MBEs/WBEs in its nongovernment procurements? Yes or No

If Yes, provide a description of such non-government procurements (including time period, goal, scope and dollar amount) and indicate the percentage of the goals that were attained.

7. Does your company have a formal MBE/WBE supplier diversity program? Yes or No

If Yes, provide documentation of program activities and a copy of policy or program materials.

8. Does your company plan to enter into partnering or subcontracting agreements with New York State certified minority- and women-owned business enterprises if selected as the successful respondent? Yes or No

If Yes, complete the attached Utilization Plan.

1 Do not include onsite project overhead.

2 Technical training is the process of teaching employees how to more accurately and thoroughly perform the technical components of their jobs. Training can include technology applications, products, sales and service tactics, and more. Technical skills are job-specific as opposed to soft skills, which are transferable.

All information provided in connection with the questionnaire is subject to audit and any fraudulent statements are subject to criminal prosecution and debarment.

Signature of Owner/Official _____

Printed Name of Signatory _____

Title _____

Name of Business _____

Address _____

City, State, Zip _____